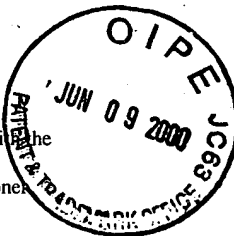


*# self*  
PATENT  
Heartport No. 111-CP

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Attn: Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231 on June 7, 2000.

By: *[Signature]*  
Lon M. Cummings



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )

JAMES R. GANNOE, *et al.* )

Examiner: Not yet assigned

Application No.: 09/492,558 )

Art Unit: Not yet assigned

Filed: January 27, 2000 )

For: APPARATUS AND METHODS )  
FOR CARDIAC SURGERY )

TRANSMITTAL LETTER

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Pursuant to the NOTICE TO FILE MISSING PARTS OF APPLICATION - FILING DATE GRANTED mailed April 7, 2000, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration and Power of Attorney
- 2) Verified Statement Claiming Small Entity Status
- 3) Power of Attorney By Assignee
- 4) Copy of Notice to File Missing Parts of Application

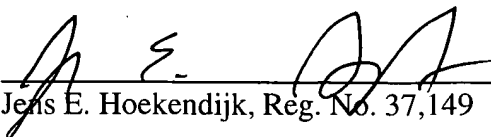
Please charge Deposit Account No. 08-1510 the following fee(s):

Basic Filing Fee:	\$345.00
Total Claims: $48-20 = 28 \times 9 =$	\$252.00
Independent Claims: $14-3 = 11 \times 39 =$	\$429.00
Missing Parts Surcharge for Small Entity	\$ 65.00
<b>TOTAL FEES TO BE CHARGED</b>	<b>\$1,091.00</b>

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment to Deposit Account No. 8-1510. This Transmittal Letter is submitted in duplicate.

Respectfully submitted,

Date June 7, '00

  
Jens E. Hoekendijk, Reg. No. 37,149

HEARTPORT, INC.  
700 Bay Road  
Redwood City, CA 94063  
(650) 306-7900

#3

## FORMALITIES LETTER



\*OC000000005036402\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/492,558	01/27/2000	James R. Gannoe	14635-012610US

James M. Heslin  
Townsend and Townsend and Crew LLP  
Two Embarcadero Center  
8th Floor  
San Francisco, CA 94111-3834



Date Mailed: 04/07/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1284.
  - \$504 for 28 total claims over 20.
  - \$780 for 10 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2104.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/13/2000 MBERHE 00000041 081510 09492558

01 FC:201	345.00 CH
02 FC:205	65.00 CH
03 FC:203	252.00 CH
04 FC:202	429.00 CH